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Group 2100

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

USPTO  
Rev. 10/95U.S. Department of Commerce  
Patent and Trademark Office

Application Number

09/289,550

Filing Date

April 9, 1999

First Named Inventor

Richard W. Friesen et al.

Group Art Unit Number

2164

Examiner Name

Charles Kyle

Total Number of Pages in This Submission

55\*

Attorney Docket Number

31192-03854

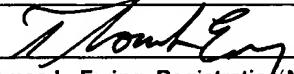
## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input checked="" type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input checked="" type="checkbox"/> Formal Drawing(s):
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> [ 10 ] Sheet(s) of Figure(s) [1-10] AND
<input type="checkbox"/> Declaration	<input type="checkbox"/> [ 3 ] Sheets of redlined Figs 3B, 3C and 4
<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Interferences
<input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449	<input type="checkbox"/> Appeal Communication to Group
<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/> (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Amendment A: [ 33 ] Page(s)	<input checked="" type="checkbox"/> Copy of International Search Report
<input type="checkbox"/> <input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Copy of Official Filing Receipt marked in red	<input type="checkbox"/>
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REMARKS: \*Total number of pages do not include the pages in the IDS references.

## SIGNATURE OF ATTORNEY OR AGENT

Signature:



Attorney/Reg. No.:

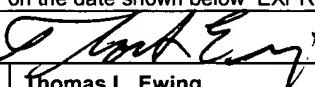
Thomas L. Ewing, Registration No. 34,328

Dated: September 12, 2001

## CERTIFICATE OF EXPRESS MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below EXPRESS MAIL NO: EL541496441US

Signature:



Typed or Printed Name:

Thomas L. Ewing

Dated: September 12, 2001

31192/03854/SF/5056890.1

EXPRESS MAIL NO: EL541496441US

PTO/SB/17 (10-00)(modified)

Approved for use through 09/29/01, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

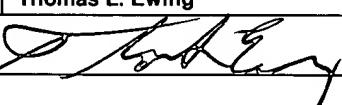
002/010(modified)  
Rev. 10/2000U.S. Department of Commerce  
Patent and Trademark Office

## FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT  
Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$1070.00)**

Complete if Known	
Application Number	09/289,550
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen et al.
Group Art Unit	2164
Examiner Name	Charles Kyle
Attorney Docket Number	31992-03854

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																												
<p>1. The Commissioner is hereby authorized to:</p> <p><input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.</p> <p><input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>Fee Code/Fee</td> <td>Fee Code/Fee</td> <td></td> <td></td> </tr> <tr> <td>105/\$130</td> <td>205/\$65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127/\$50</td> <td>227/\$25</td> <td>Surcharge-late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>147/\$2,520</td> <td>147/\$2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>115/\$110</td> <td>215/\$55</td> <td>Extension for response within first month<sup>†</sup></td> <td></td> </tr> <tr> <td>116/\$390</td> <td>216/\$195</td> <td>Extension for response within second month<sup>†</sup></td> <td></td> </tr> <tr> <td>117/\$890</td> <td>217/\$445</td> <td>Extension for response within third month<sup>†</sup></td> <td><b>890</b></td> </tr> <tr> <td>118/\$1,390</td> <td>218/\$695</td> <td>Extension for response within fourth month<sup>†</sup></td> <td></td> </tr> <tr> <td>128/\$1,890</td> <td>228/\$945</td> <td>Extension for response within fifth month<sup>†</sup></td> <td></td> </tr> <tr> <td>119/\$310</td> <td>219/\$155</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>141/\$1,240</td> <td>241/\$620</td> <td>Petition to revive unintentionally abandoned application</td> <td></td> </tr> <tr> <td>142/\$1,240</td> <td>242/\$620</td> <td>Utility Issue Fee (Or Reissue)</td> <td></td> </tr> <tr> <td>143/\$440</td> <td>243/\$220</td> <td>Design Issue Fee</td> <td></td> </tr> <tr> <td>122/\$130</td> <td>122/\$130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>126/\$180</td> <td>126/\$180</td> <td>Submission of Information Disclosure Statement</td> <td><b>180</b></td> </tr> <tr> <td>179/\$710</td> <td>279/\$355</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>581/\$40</td> <td>581/\$40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146/\$710</td> <td>246/\$355</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149/\$710</td> <td>249/\$355</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify):</td> <td></td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify):</td> <td></td> <td></td> </tr> <tr> <td colspan="2"></td> <td><b>SUBTOTAL (3)</b></td> <td><b>(\$1070.00)</b></td> </tr> <tr> <td colspan="2"> <p>2. 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SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Thomas L. Ewing	Reg. Number	34,328
Signature		Date	September 12, 2001

31192/03854/SF/5056889.1

PATENT



IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE



APPLICANTS: Richard W. Friesen et al.

APPLICATION NO.: 09/289,550

FILING DATE: April 9, 1999

TITLE: **USER INTERFACE FOR AN ELECTRONIC TRADING  
SYSTEM**

EXAMINER: Charles Kyle

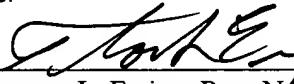
GROUP ART UNIT: 2164

ATTY. DKT. NO.: 31192-03854

**CERTIFICATE OF EXPRESS MAIL**

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Dated: September 12, 2001

By: 

Thomas L. Ewing, Reg. No. 34,328

COMMISSIONER FOR PATENTS  
WASHINGTON, DC. 20231

**LETTER TO THE CHIEF DRAFTSPERSON**

SIR:

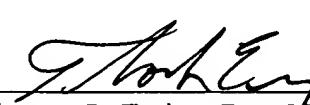
In response to the drawing informalities indicated on the Examiner's Notice Regarding Patent Drawings for the above-entitled patent application, please substitute the enclosed ten (10) sheets of formal drawings containing Figures 1-11 for the fourteen (14) sheets of drawings containing Figures 1-11 previously submitted.

Changes being made are indicated in red ink mark-ups of Figures 3B, 3C, and 4, also enclosed.

Respectfully submitted  
RICHARD W. FRIESEN, et al.

Dated: September 12, 2001

By:

  
Thomas L. Ewing, Reg. No. 34,328  
Fenwick & West LLP  
Two Palo Alto Square  
Palo Alto, CA 94306  
Tel.: (415) 875-2336  
Fax: (415) 281-1350

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Group 2100

#10  
J. Caffin  
10-24-01